

# The Full 360<sup>o</sup> Compliance View Washington DC 2020

May 7 - 8, 2020 | Convene, 600 14th Street NW Washington, D.C.

Title	Company
Managing Director / Chief Compliance Officer	1955
Compliance	Alliance Retirement Services
Chief Compliance Officer	ARGI Investment Services
Compliance Coordinator	Arlington Partners
Chief Compliance Officer and Operations	Armbruster Capital Management
General Counsel and Chief Compliance Officer	Atom Investors
Chief Compliance Officer	Beaumont Financial Partners
Shareholder	Becker & Poliakoff
Vice President - Operations and CCO	BioInnovation Capital
Managing Director	Blackstone
Chief Compliance Officer / Chief Financial Officer	BP Energy Partners
Chief Compliance Officer	Brookstone Capital Management
Director of Compliance	Budros Ruhlin Roe
Senior Vice President and General Counsel	Calamos Investments
Chief Compliance Officer	Capital Advisors
Compliance	Carlson Financial
Chief Compliance Officer	Channing Capital Management
Chief Compliance Officer	Cherry Bekaert Wealth Management
Compliance Manager	Cipperman Compliance Services
Office Manager	Collins Advisors
Chief Compliance Officer & COO	Columbus Investment Advisory
President	CPS Investment Advisors
Assistant Director, U.S. SEC	D.C. Office of OCIE for Investment Advisers
Chief Compliance Officer	Dearborn Partners
President, CCO and COO	Dividend Assets Capital
Chief Compliance Officer	Domini Impact Investments
CAO/Chief Compliance	Donald Smith & Company
Compliance Officer	EFS Advisors
Compliance	EJF Capital
Chief Compliance Officer & Counsel	Ellevest
Chief Compliance Officer	EP Wealth Advisors
Senior Compliance Associate	Fairview Investment Services
Senior Director - Fixed Income Regulation	FINRA
Managing Director & Chief Compliance Officer	Fort Washington Investment Advisors
Compliance Associate	Frontier Capital
Chief Compliance Officer	Garden State Securities
Chief Compliance Officer	GM Advisory Group

# The Full 360<sup>o</sup> Compliance View Washington DC 2020

May 7 - 8, 2020 | Convene, 600 14th Street NW Washington, D.C.

Chief Compliance Officer	Goss Advisors
Chief Compliance Officer	Homrich Berg Wealth Management
Chief Compliance Officer	IFM Investors
Chief Compliance Officer & Senior Vice President	IMA Wealth
Chief Compliance Officer	Insight Investment
General Counsel and Chief Compliance Officer	Laird Norton Wealth Management
Compliance	Legal & General Investment Management America
Partner, Chief Compliance Officer	Lord Abbett
Controller	M/C Partners
Chief Compliance Officer	Markston International
Chief Compliance Officer	Mercer Advisors
Director, Compliance	MetLife
Senior Compliance Associate	Moneta
Chief Compliance Officer	Moneta Group
Chief Compliance Officer	Northwest Financial Advisors Llc
Compliance Officer, Vice President	Oak Hill Advisors
Chief Compliance, Legal, and Technology Officer	Obermeyer Wood Investment Counsel
Operations Analyst	Omega Wealth Management
Chief Compliance Officer	Parkside Advisors
Securities Compliance Attorney	PFS Investments
Executive Vice President, CCO	Private Advisor Group
Executive Director and Chief Compliance Officer	ProFunds Advisors
Global Head of Compliance	Prudential Financial
Manager of Operations & Assistant CO	RB Needham Advisory Corp.
CFO/Chief Compliance Officer	Redwood Investments
Partner and Chief Operating Officer	RegentAtlantic
Group Publisher	Regulatory Compliance Watch
Executive Vice President and COO	Renaissance Regulatory Services
Chief Financial Officer	RK Capital Management
Senior Counsel & Chief Compliance Officer	RTW Investments
General Counsel	Silvercrest Asset Mgmt Group
Treasurer	Skylands Capital
General Counsel, Chief Compliance Officer	SPC Financial
VP, Regulatory & Policy Governance	TD Asset Management
Chief Compliance Officer and Controller	The Swarthmore Group
Compliance Officer	Thompson Siegel and Walmsley
Chief Compliance Officer	TrustCore

Regulatory  
Compliance Watch

Optimize your experience by  
attending the SEC Exam Preparation Workshop!

# The Full 360<sup>o</sup> Compliance View Washington DC 2020

May 7 - 8, 2020 | Convene, 600 14th Street NW Washington, D.C.

Senior Counsel	U.S. Securities and Exchange Commission
Founder & Chief Executive Officer	Vigilant
Partner and President	Waldron Private Wealth
Reporter	Wall Street Journal
Vice President of Compliance	Wellesley Asset Management
Chief Financial Officer	Yellow Wood Partners